

28 NOV 2001

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :

RICHARD A. DIXON, ET AL

Serial No.: 09/926,571

International  
Application No. PCT/US00/13389International  
Filing Date: May 15, 2000

Group: Unassigned

For: ISOFLAVONOID METHYLATION ENZYME

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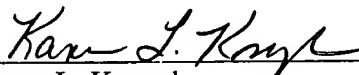
Dear Sir:

## TRANSMITTAL OF FORMAL PAPERS

To complete the above-identified application filed under 35 U.S.C. §371,  
enclosed is the original Declaration and Power of Attorney of Inventors Richard A. Dixon and  
Xian Z. He.

Applicants further enclose a Verified Statement Claiming Small Entity Status for  
the assignee.

Respectfully submitted,

By:   
Karen L. Knezek  
Registration No. 39,253

KLK:ld  
November 28, 2001  
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Applicant or Patentee: **Richard A. Dixon, et al.**

Serial or Patent No.:

Filed or Issued:

Attorney's Docket No.: **11137/04808**

For: **ISOFLAVONOID METHYLATION ENZYME**

**VERIFIED STATEMENT (DECLARATION)  
CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) and 1.27(d))  
NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **The Samuel Roberts Noble Foundation, Inc.**

ADDRESS OF ORGANIZATION: 2510 Sam Noble Parkway, Ardmore, Oklahoma 73401

TYPE OF ORGANIZATION

- ☐ UNIVERSITY OR OTHER INSTITUTE OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. §§ 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE)  
(CITATION OF STATUTE )
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. §§ 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE )  
(CITATION OF STATUTE )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under §§ 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled **ISOFLAVONOID METHYLATION ENZYME** by inventors **Richard A. Dixon and Xian Z. He** described in

- ☐ the specification filed herewith.
- ☒ PCT International Application No. PCT/US00/13389, filed May 15, 2000.
- ☐ patent no. , issued .

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern or organization
- ☐ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

NAME: N/A

ADDRESS:

- ☐ individual      ☐ small business concern      ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are

punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: **Michael A. Cawley**

TITLE IN ORGANIZATION: **President and CEO**

ADDRESS OF PERSON SIGNING: **2510 Sam Noble Parkway, Ardmore OK 73401**

SIGNATURE

*Michael A. Cawley*

*MC*

DATE

*11.19.01*